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December 20, 2001

FILE NO: 52493.000230

UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket Number: **52493.000230**  
First Named Inventor: **Allison STOLTZ**  
Title: **SYSTEM AND METHOD FOR RISK ASSESSMENT**

jc760 U.S. PTO  
10/022438  
12/20/01

TO: **BOX PATENT APPLICATION**  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

Attached are the following for filing with the U.S. Patent and Trademark Office:

1. ☒ Fee Transmittal Form (original and duplicate)
2. ☐ Small Entity Status Claimed: ☐ Independent Inventor  
☐ Small Business Concern  
☐ Non-Profit Organization
- ☐ Statement Enclosed
- ☐ Statement Filed in Prior Application; Status Still Proper and Desired
3. ☒ Specification - Total Pages: 26 (Including Abstract)

| CLAIMS AS FILED                                 |              |                  |       |              |              |           |
|---|--------------|------------------|-------|--------------|--------------|-----------|
|   | Claims Filed | Basic Fee Claims | Extra | Rate         |              | Amount    |
|   |              |                  |       | Large Entity | Small Entity |           |
| Total Claims                                    | 20           | 20               | 0     | \$ 18.00     | \$ 0.00      | \$ 0.00   |
| Independent Claims                              | 2            | 3                | 0     | \$ 84.00     | \$ 0.00      | \$ 0.00   |
| First Presentation of Multiple Dependent Claims |              |                  |       | \$ 280.00    | \$ 0.00      | \$ 0.00   |
| BASIC FEE                                       |              |                  |       | \$ 740.00    | \$ 0.00      | \$ 740.00 |
| TOTAL FILING FEE                                |              |                  |       |              |              | \$ 740.00 |
| Assignment Recordation Fee                      |              |                  |       |              |              | \$ 0.00   |
| TOTAL AMOUNT ENCLOSED                           |              |                  |       |              |              | \$ 740.00 |

4. ☒ Drawings - Total Sheets: 4 (Fig(s). 1 - 4)
5. Oath or Declaration - Total Pages: 4



21967

PATENT TRADEMARK OFFICE

- a. ☐ Newly executed (original or copy)  
☒ New (unexecuted)
- b. ☐ Copy from a prior application  
(for continuation/divisional with Box 17 completed)
  - i. ☐ DELETION OF INVENTOR(s):  
Signed statement attached deleting inventor(s) named in prior application.
6. ☐ Application Data Sheet
7. ☐ CD-ROM or CD-R in duplicate, large table or Microfiche Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (two copies); or
    - ii. ☐ Paper Copy (identical to computer copy)
  - c. ☐ Statements verifying identity of above copies
9. ☒ Assignment (unexecuted)
10. ☐ 37 C.F.R. 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement with PTO-1449 and References  
☐ Copies of Information Disclosure Statement Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard
15. ☐ Foreign Priority is Claimed as Follows:  

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☐ If Foreign Priority is Claimed, Certified Copy of the Above Priority Document(s) is Submitted Herewith
16. ☐ Nonpublication Request under 35 U.S.C. § 1222(b)(2)(B)(i). Applicant must attach Form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_
18. ☐ Continuation ☐ Divisional ☐ Continuation-in-Part of

Prior Application No.: \_\_\_\_\_ filed \_\_\_\_\_

☐ Incorporation By Reference (useable if Box 5b is marked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application papers.

☐ Complete Application Based on Provisional Application No.: \_\_\_\_\_  
filed \_\_\_\_\_

19. Please address all correspondence to:

☒ **CUSTOMER NUMBER** 21967

☐ Intellectual Property Department  
Hunton & Williams  
1900 K Street, N.W.  
Suite 1200  
Washington, DC 20006-1109

20. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is as follows:

☐ The power of attorney is to:

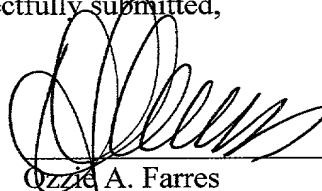
☐ Please remove as power of attorney:

☐ Please add as power of attorney:

21. ☒ A check in the amount of \$ 740.00 is enclosed. In the event any variance exists between the amount enclosed and the Patent Office charges, please charge or credit any such variance to **Deposit Account No. 50-0206**.

Respectfully submitted,

By:



Ozzie A. Farres  
Registration No. 43,606

OAF/tlc  
Enclosures

Patent 342207

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Dozzie A. Farrea